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Preliminary Classification:

Proposed Class:

Subclass:

NOTE: "All applicants are requested to include a preliminary classification on newly filed patent applications. The preliminary classification, preferably class and subclass designations, should be identified in the upper right-hand corner of the letter of transmittal accompanying the application papers, for example 'Proposed Class 2, subclass 129.'" M.P.E.P., § 601, 7th ed.

TRANSMITTAL LETTER TO THE UNITED STATES ELECTED OFFICE (EO/US) (ENTRY INTO U.S. NATIONAL PHASE UNDER CHAPTER II)

| INTERNATIONAL APPLICATION NO. | INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED |
|--|---|----------------------------------|
| PCT/EP00/03324 | 13 April 2000 | 8 May 1999 |
| TITLE OF INVENTION | | |
| DEVICE FOR HANDLING SUBSTRATES INSI | IDE AND OUTSIDE A CLEAN F | ROOM |
| APPLICANT(S) | | |
| Wolfgang SCHMUTZ, Josef GENTISCHER | | |
| Box PCT Assistant Commissioner for Patent Washington D.C. 20231 ATTENTION: EO/US | S | |
| (When using Express Mail, | IDER 37 C.F.R. §§ 1.8(a) a the Express Mail label number Mail certification is optional.) | |
| I hereby certify that, on the date shown below | , this correspondence is being: | |
| | MAILING | |
| deposited with the United States Postal Stor Patents, Washington, D.C. 20231 | ervice in an envelope addresse | ed to the Assistant Commissioner |
| 37 C.F.R. § 1.8(a) | 37 C. | F.R. § 1.10 * |
| ☐ with sufficient postage as first class mail. | as "Express Mail Pos | t Office to Addressee" |
| | Mailing Label No. EL627 | 511049US (mandatory) |
| | TRANSMISSION | |
| ☐ facsimile transmitted to the Patent and Tra | ademark Office, (703) | · |
| | Shauna M | mpley |
| | Signature | ` / } |
| Date: November 8, 2001 | Shauna Murphy | \cup |

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

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(type or print name of person certifying)

- NOTE: To avoid abandonment of the application, the applicant shall furnish to the USPTO, not later than 20 months from the priority date: (1) a copy of the international application, unless it has been previously communicated by the International Bureau or unless it was originally filed in the USPTO; and (2) the basic national fee (see 37 C.F.R. § 1.492(a)). The 30-month time limit may not be extended. 37 C.F.R. § 1.495.
- WARNING: Where the items are those which can be submitted to complete the entry of the international application into the national phase are subsequent to 30 months from the priority date the application is still considered to be in the international state and if mailing procedures are utilized to obtain a date the express mail procedure of 37 C.F.R. § 1.10 must be used (since international application papers are not covered by an ordinary certificate of mailing—See 37 C.F.R. § 1.8.
- NOTE: Documents and fees must be clearly identified as a submission to enter the national state under 35 U.S.C. § 371 otherwise the submission will be considered as being made under 35 U.S.C. § 1.11. 37 C.F.R. § 1.494(f).
- I. Applicant herewith submits to the United States Elected Office (EO/US) the following items under 35 U.S.C. § 371:
 - a. X This express request to immediately begin national examination procedures (35 U.S.C. § 371(f)).
 - b. 🖾 The U.S. National Fee (35 U.S.C. § 371(c)(1)) and other fees (37 C.F.R. § 1.492) as indicated below:

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ż. Fees

| CLAIMS FEE | (1) FOR | (2) NUMBER FILED | (3) NUMBER EXTRA | (4) RATE | (5) CALCULA- TIONS | | | |
|-----------------|----------------------------------|--|---------------------|-----------------|-----------------------|--|--|--|
| □• · | TOTAL CLAIMS | , | | | | | | |
| | 16 | 16 -20= | 0 | × \$18.00= | \$ 0 | | | |
| | INDEPENDENT CLAIMS | | | | | | | |
| | 1 | 1 -3= | 0 | ×\$84.00 = | 0 | | | |
| | MULTIPLE DEPE | IPLE DEPENDENT CLAIM(S) (if applicable) +\$ 280.00 = | | | | | | |
| BASIC FEE↔ | 7 20100 | | | | | | | |
| | | | Total of above | ve Calculations | = 890.00 | | | |
| SMALL ENTITY | Reduction by 1/2 must be made. (| _ | | | | | | |
| | | | | Subtotal | 890.00 | | | |
| | | | Tota | al National Fee | \$ 890.00 | | | |
| : | | the enclosed assign (See Item 13 below) | | | | | | |
| TOTAL | | | Total | Fees enclosed | \$ 890.00 | | | |

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| *See a | ittach | ed Preliminary Amendment Reducing the Number of Claims. |
|--------|-----------------------------------|--|
| EX. | Att | ached is a 🖼 check 🔲 money order in the amount of \$ 890.00 |
| | Au | thorization is hereby made to charge the amount of \$ |
| | EZ\$ | to Deposit Account No. 16-1350 |
| | | to Credit card as shown on the attached credit card information authorization form PTO-2038. |
| WARNIN | G: C | redit card information should not be included on this form as it may become public. |
| ⊠ | | arge any additional fees required by this paper or credit any overpayment the manner authorized above. |
| Α | dupli | cate of this paper is attached. |
| "WARNI | 1 | "To avoid abandonment of the application the applicant shall furnish to the United States Patent and Trademark Office not later than the expiration of 30 months from the priority date: * * * (2) the basic national fee (see § 1.492(a)). The 30-month time limit may not be extended." 37 C.F.R. § 1.495(b). |
| WARNIN | su be se thi is da | the translation of the international application and/or the oath or declaration have not been britted by the applicant within thirty (30) months from the priority date, such requirements may met within a time period set by the Office. 37 C.F.R. § 1.495(b)(2). The payment of the surcharge t forth in § 1.492(e) is required as a condition for accepting the oath or declaration later than ity (30) months after the priority date. The payment of the processing fee set forth in § 1.492(f) required for acceptance of an English translation later than thirty (30) months after the priority te. Failure to comply with these requirements will result in abandonment of the application. The positions of § 1.136 apply to the period which is set. Notice of Jan. 3, 1993, 1147 O.G. 29 to |
| ☐ As | sertic | on of Small Entity Status |
| □ Ар | plica | nt hereby asserts status as a small entity under 37 C.F.R. § 1.27. |
| a | leclarat | R. § 1.27(c) deals with the assertion of small entity status, whether by a written specific ion thereof or by payment as a small entity of the basic filing fee or the fee for the entry into onal phase as states: |
| | organ to be and n make | Assertion of small entity status. Any party (person, small business concern or nonprofit ization) should make a determination, pursuant to paragraph (f) of this section, of entitlement accorded small entity status based on the definitions set forth in paragraph (a) of this section, nust, in order to establish small entity status for the purpose of paying small entity fees, actually an assertion of entitlement to small entity status, in the manner set forth in paragraphs (c)(1) 3) of this section, in the application or patent in which such small entity fees are to be paid. |
| • | (1) / to s | Assertion by writing. Small entity status may be established by a written assertion of entitlement small entity status. A written assertion must: |
| | (1) | Be clearly identifiable; |
| | |) Be signed (see paragraph (c)(2) of this section); and |
| | . is | i) Convey the concept of entitlement to small entity status, such as by stating that applicant a small entity, or that small entity status is entitled to be asserted for the application or patent. Thile no specific words or wording are required to assert small entity status, the intent to assert thall entity status must be clearly indicated in order to comply with the assertion requirement. |
| | | Parties who can sign and file the written assertion. The written assertion can be signed by: |
| | \$3 | One of the parties identified in §§ 1.33(b) (e.g., an attorney or agent registered with the Office), 3.73(b) of this chapter notwithstanding, who can also file the written assertion; |
| | (ii) or | At least one of the individuals identified as an inventor (even though a §§ 1.63 executed oath declaration has not been submitted), notwithstanding §§ 1.33(b)(4), who can also file the |

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(iii) An assignee of an undivided part interest, notwithstanding §§ 1.33(b)(3) and 3.73(b) of this chapter, but the partial assignee cannot file the assertion without resort to a party identified under

written assertion pursuant to the exception under §§ 1.33(b) of this part; or

§§ 1.33(b) of this part.

(3) Assertion by payment of the small entity basic filing or basic national fee. The payment, by any party, of the exact amount of one of the small entity basic filing fees set forth in §§ 1.16(a), (f), (g), (h), or (k), or one of the small entity basic national fees set forth in §§ 1.492(a)(1), (a)(2), (a)(3), (a)(4), or (a)(5), will be treated as a written assertion of entitlement to small entity status even if the type of basic filing or basic national fee is inadvertently selected in error.

(i) If the Office accords small entity status based on payment of a small entity basic filing or basic national fee under paragraph (c)(3) of this section that is not applicable to that application, any balance of the small entity fee that is applicable to that application will be due along with the appropriate surcharge set forth in §§ 1.16(e), or §§ 1.16(f).

(ii) The payment of any small entity fee other than those set forth in paragraph (c)(3) of this section (whether in the exact fee amount or not) will not be treated as a written assertion of entitlement to small entity status and will not be sufficient to establish small entity status in an application or a patent."

3. A copy of the International application as filed (35 U.S.C. § 371(c)(2)):

NOTE: Section 1.495 (b) was amended to require that the basic national fee and a copy of the international application must be filed with the Office by 30 months from the priority date to avoid abandonment. "The International Bureau normally provides the copy of the international application to the Office in accordance with PCT Article 20. At the same time, the International Bureau notifies applicant of the communication to the Office. In accordance with PCT Rule 47.1, that notice shall be accepted by all designated offices as conclusive evidence that the communication has duly taken place. Thus, if the applicant desires to enter the national stage, the applicant normally need only check to be sure the notice from the International Bureau has been received and then pay the basic national fee by 30 months from the priority date." Notice of Jan. 7, 1993, 1147 O.G. 29 to 40, at 35-36. See item 14c below.

| | | a. | | is transmitted herewith. |
|---|---|------------|-------------|--|
| | | b. | | is not required, as the application was filed with the United States Receiving Office. |
| | | c. | X | has been transmitted |
| | | | i. | 🗓 by the International Bureau. |
| | | | | Date of mailing of the application (from form PCT/1B/308): 11/16/00 |
| | | | ii. | □ by applicant on (Date) |
| • | X | A t (35 | rans U.S | lation of the International application into the English language |
| | | a. | XX | is transmitted herewith. |
| | | b. | | is not required as the application was filed in English. |
| | | C. | | was previously transmitted by applicant on (Date) |
| | | d. | | will follow. |
| | | | | |

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| 5. | . <u>(X</u> | | men 5 U. | dment S.C. { | is to the claims of the International application under PCT Article 19 § 371(c)(3)): |
|----|--------------|---|---|--|---|
| NC | OTE: | and o priori do so subm an ai | continity date of will in the continuity that the continuity that the continuity the continuity that the continuity | uing pr te and : not res t subjec ment u | uary 7, 1993 points out that 37 C.F.R. § 1.495(a) was amended to clarify the existing actice that PCT Article 19 amendments must be submitted by 30 months from the this deadline may not be extended. The Notice further advises that: "The failure to ult in loss of the subject matter of the PCT Article 19 amendments. Applicant may at matter in a preliminary amendment filed under section 1.121. In many cases, filing ander section 1.121 is preferable since grammatical or idiomatic errors may be 0.G. 29-40, at 36. |
| | | a. | | are | transmitted herewith. |
| | | b. | | hav | e been transmitted |
| | | • | i. | | by the International Bureau. |
| | | | | | Date of mailing of the amendment (from form PCT/1B/308): |
| | | | ii. | | by applicant on (Date) |
| | | c. | XX | hav | e not been transmitted as |
| | | | i. | (X) | applicant chose not to make amendments under PCT Article 19 Date of mailing of Search Report (from form PCT/ISA/210.): |
| | | | | | _8/22/00 |
| | | | ii. | | the time limit for the submission of amendments has not yet expired. The amendments or a statement that amendments have not been made will be transmitted before the expiration of the time limit under PCT Rule 46.1. |
| 6. | KXI | A (38 | trans | lation S.C. § | of the amendments to the claims under PCT Article 19 371(c)(3)): |
| | | a. | | is tra | ansmitted herewith. |
| | | b. | | is no | ot required as the amendments were made in the English language. |
| | | c. | K.X | | not been transmitted for reasons indicated at point 5(c) above. |
| 7. | □ X X | Α | ору | | e international examination report (PCT/IPEA/409) |
| | | | | is tra | ansmitted herewith. |
| | | | | is no Rece | ot required as the application was filed with the United States siving Office. |
| 8. | KX | Anr | nex(e | s) to | the international preliminary examination report |
| | | a. | X | is/are | e transmitted herewith. |
| | | b. | | is/are Rece | e not required as the application was filed with the United States iving Office. |
| 9. | (X) | A ti | ransl | ation | of the annexes to the international preliminary examination report |
| | | a. | | | nsmitted herewith. |
| | | b. | | is no | t required as the annexes are in the English language. |
| | | | | (Tran | semittel Letter to the Heldell Care. Fire Lorg. (For any see any |

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| 10. 😡 | Ar 35 | oat | h or declaration of the inventor (35 U.S.C. § 371(c)(4)) complying with C.C. § 115 |
|-----------|----------|---------------|---|
| | a. | | was previously submitted by applicant on (Date) |
| | b. | | is submitted herewith, and such oath or declaration |
| | | i. | is attached to the application. |
| | | ii. | identifies the application and any amendments under PCT Article 19 that were transmitted as stated in points 3(b) or 3(c) and 5(b); and states that they were reviewed by the inventor as required by 37 C.F.R. § 1.70. |
| | c. | €X | will follow. |
| II. Other | docu | ımer | it(s) or information included: |
| 11. 👿 | | Inte T A | rnational Search Report (PCT/ISA/210) or Declaration under ticle 17(2)(a): |
| | a. | KX | is transmitted herewith. |
| | b. | | has been transmitted by the International Bureau. |
| | | | Date of mailing (from form PCT/IB/308): |
| | C. | | is not required, as the application was searched by the United States International Searching Authority. |
| | d. | | will be transmitted promptly upon request. |
| | e. | | has been submitted by applicant on (Date) |
| 12. 🙀 | An | Info | mation Disclosure Statement under 37 C.F.R. §§ 1.97 and 1.98: |
| | a. | X. | is transmitted herewith. |
| Als | o tra | nsm | itted herewith is/are: |
| | | | ☑ Form PTO-1449 (PTO/SB/08A and 08B). |
| | | | Copies of citations listed. |
| | b. | | will be transmitted within THREE MONTHS of the date of submission of requirements under 35 U.S.C. § 371(c). |
| | C. | | was previously submitted by applicant on (Date) |
| 13. 🗆 | | | gnment document is transmitted herewith for recording. |
| | A se | epara NG I | ate "COVER SHEET FOR ASSIGNMENT (DOCUMENT) ACCOMPANEW PATENT APPLICATION" or FORM PTO 1595 is also attached. |
| | | | |
| | | | |
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| 14. 🛭 | Additional documents: | | | | | |
|----------|---|--------|---|--|--|--|
| | a. | EX) | Copy of request (PCT/RO/101) | | | |
| | b. | XX | International Publication NoW0_00/68976 | | | |
| | | i. | Specification, claims and drawing | | | |
| | | ii. | ☐ Front page only | | | |
| | c. | XX | Preliminary amendment (37 C.F.R. § 1.121) | | | |
| | d. | X | Other | | | |
| | | _ | Verified English Translation of WO Publication, PCT/IB/308. | | | |
| | | لـ | Written Opinion Response. Preliminary Examination Report and English | | | |
| | | _ | translation thereof. | | | |
| 15. 🗔 | The | abo | ove checked items are being transmitted | | | |
| | a. | X) | before 30 months from any claimed priority date. | | | |
| | b. | | after 30 months. | | | |
| 16. 🗆 | Certain requirements under 35 U.S.C. § 371 were previously submitted by the applicant on, namely: | | | | | |
| | | | | | | |
| | | _ | | | | |
| | | . – | | | | |
| | | | | | | |
| | | | | | | |
| | | _ | | | | |
| | | AU' | THORIZATION TO CHARGE ADDITIONAL FEES | | | |
| WARNING: | Acc | curate | ally count claims, especially multiple dependant claims, to avoid unexpected high charges | | | |

NOTE: "A written request may be submitted in an application that is an authorization to treat any concurrent or future reply, requiring a petition for an extension of time under this paragraph for its timely submission, as incorporating a petition for extension of time for the appropriate length of time. An authorization to charge all required fees, fees under § 1.17, or all required extension of time fees will be treated as a constructive petition for an extension of time in any concurrent or future reply requiring a petition for an extension of time under this paragraph for its timely submission. Submission of the fee set forth in § 1.17(a) will also be treated as a constructive petition for an extension of time in any concurrent reply requiring a petition for an extension of time under this paragraph for its timely submission." 37 C.F.R. § 1.136(a)(3).

NOTE: "Amounts of twenty-five dollars or less will not be returned unless specifically requested within a reasonable time, nor will the payer be notified of such amounts; amounts over twenty-five dollars may be returned by check or, if requested, by credit to a deposit account." 37 C.F.R. § 1.26(a).

Please charge, in the manner authorized above, the following additional fees that may be required by this paper and during the entire pendency of this application:

37 C.F.R. § 1.492(a)(1), (2), (3), and (4) (filing fees)

WARNING: Because failure to pay the national fee within 30 months without extension (37 C.F.R. § 1.495(b)(2)) results in abandonment of the application, it would be best to always check the above box.

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37 C.F.R. § 1.492(b), (c) and (d) (presentation of extra claims)

NOTE: Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 C.F.R. § 1.492(d)), it might be best not to authorize the PTO to charge additional claim fees, except possible when dealing with amendments after final action.

- 37 C.F.R. § 1.17 (application processing fees)
- 37 C.F.R. § 1.17(a)(1)-(5) (extension fees pursuant to § 1.136(a).
- ☐ 37 C.F.R. § 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 C.F.R. § 1.311(b))

NOTE: Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance. 37 C.F.R. § 1.311(b).

NOTE: 37 C.F.R. § 1.28(b) requires "Notification of any change in loss of entitlement to small entity status must be filed in the application . . . prior to paying, or at the time of paying . . . issue fee." From the wording of 37 C.F.R. § 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity.

37 C.F.R. § 1.492(e) and (f) (surcharge fees for filing the declaration and/or filing an English translation of an International Application later than 30 months after the priority date).

GNATURE OF PRACTITIONER

Clarence A. Green

(type or print name of practitioner)

PERMAN & GREEN, LLP

P.O. Address

425 Post Road, Fairfield, CT 06430 USA

Reg. No.: 24,622

Tel. No.: (203 - 259-1800)

Customer No.: 2512